

**COMDTNOTE 4121**

MAR 10 2005

**COMMANDANT NOTICE 4121**

**CANCELLED: MAR 9 2006**

**Subj: CH-6 TO THE COAST GUARD UNIFORM SUPPLY OPERATIONS MANUAL,  
COMDTINST M4121.4**

1. **PURPOSE.** To provide changes to the Coast Guard Uniform Supply Operations (USO) Manual, COMDTINST M4121.4.
2. **ACTION.** Area and District Commanders, Commanders of Maintenance and Logistics Commands, Commanding Officers of headquarters units, Assistant Commandants for Directorates, Chief Counsel, and special staff offices at Headquarters shall ensure compliance with the provisions of this Notice. Internet Release Authorized.
3. **DIRECTIVES AFFECTED.** None.
4. **SUMMARY OF CHANGES.** This notice reflects policy changes to USO Manual Chapters 11, 15 and 16. The policy changes are to correct DHS Inspector General audit findings and update Coast Guard policy and procedures for review of reparable, physical inventory, management oversight and measurement. Aircraft Repair and Supply Center (ARSC) and the Engineering Logistics Center (ELC) are updating their internal procedures in accordance with these policy changes.
5. **PROCEDURES.** Remove and insert the following pages:

**REMOVE**

Chapter 11

Chapter 15

Chapter 16

Enclosure (2) and (3)

**INSERT**

Chapter 11

Chapter 15

Chapter 16

Vacant

DISTRIBUTION – SDL No. 142

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6. **ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.** Environmental considerations were examined I the development of this notice and have been determined not to be applicable.
7. **FORMS/REPORTS.** Inventory Control Effectiveness (ICE) Report, RCN-4121-1 (CG-5644) is submitted quarterly in accordance with USO, Chapter 15. The form is locally reproduced at ARSC and ELC.

/s/  
PAUL J. GLAHE  
Acting

Encl: (1) CH-6 to Uniform Supply Operations Manual, COMDTINST M4121.4

**COMDTNOTE 4121**  
SEP 2 2004

**COMMANDANT NOTICE 4121**

**CANCELLED:** SEP 1 2005

**Subj: CH-5 TO THE COAST GUARD UNIFORM SUPPLY OPERATIONS MANUAL,  
COMDTINST M4121.4**

1. **PURPOSE.** To provide changes to the Coast Guard Uniform Supply Operations (USO) Manual, COMDTINST M4121.4.
2. **ACTION.** Area and District Commanders, Commanders of Maintenance and Logistics Commands, Commanding Officers of headquarters units, Assistant Commandants for Directorates, Chief Counsel, and special staff offices at Headquarters shall ensure compliance with the provisions of this Notice. Internet Release Authorized.
3. **DIRECTIVES AFFECTED.** None.
4. **SUMMARY OF CHANGES.** This notice reflects policy changes to USO Manual Chapters 3 and 10. DHS Inspector General audits reported that the Coast Guard was not categorizing, valuing and reporting Operating Material & Supplies (OM&S) and Plant, Property and Equipment (PP&E) correctly. Policy and procedure changes were required to correct the deficiencies reported on the audits. ARSC and ELC have updated their internal procedures in accordance with this policy changes.
5. **PROCEDURES.** Remove and insert the following pages:

**REMOVE**

Chapter 3  
Pages 3-1 thru 3-3

Chapter 10  
Pages 10-1 thru 10-5

**INSERT**

Chapter 3  
Pages 3-1 thru 3-3

Chapter 10  
Pages 10-1 thru 10-5

DISTRIBUTION – SDL No. 139

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NON-STANDARD DISTRIBUTION: MLCs only

6. **FORMS/REPORTS**. None.

1. E. M. BROWN /s/  
Assistant Commandant for Systems

Encl: (1) CH-5 to Uniform Supply Operations Manual, COMDTINST M4121.4



**COMDTNOTE 4121**

FEB 1 2002

**COMMANDANT NOTICE 4121**

**CANCELLED: JAN 31 2003**

**Subj: CH-4 TO THE COAST GUARD UNIFORM SUPPLY OPERATIONS MANUAL,  
COMDTINST M4121.4**

1. **PURPOSE.** To provide changes to the Coast Guard Uniform Supply Operations (USO) Manual, COMDTINST M4121.4.
2. **ACTION.** Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, Chief Counsel, and special staff offices at headquarters shall ensure compliance with the provisions of this Notice. Internet Release Authorized.
3. **DIRECTIVES AFFECTED.** None.
4. **SUMMARY OF CHANGES.** This Notice reflects changes to the USO manual. Added to Chapter 10 is the cost to hold valuation process used in determining the cost for holding stock in anticipation of future use. Added to Enclosure (2) is a \$5,000 threshold for reporting Operating Material & Supplies on a formal Board of Survey and approval authority for dollar value adjustments  $\leq$ \$499.99.

5. **PROCEDURES.** Remove and insert the following pages:

**REMOVE**

Pages 10-3 thru 10-4  
Encl (2) Pages 11 thru 14

**INSERT**

Pages 10-3 thru 10-6  
Encl (2) Pages 11 thru 14

6. **FORMS/REPORTS.** None.

R.F. SILVA

Assistant Commandant for Systems

DISTRIBUTION – SDL No. 139

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NON-STANDARD DISTRIBUTION: MLCs only

Encl: (1) CH-4 to Uniform Supply Operations Manual, COMDTINST M4121.4

U.S. Department  
of Transportation

United States  
Coast Guard



Commandant  
United States Coast Guard

2100 Second Street, S.W.  
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COMDTNOTE 4121  
OCT 25 1999

COMMANDANT NOTICE 4121

CANCELLED:  
OCT 24 2000

Subj: CH-3 TO THE COAST GUARD UNIFORM SUPPLY OPERATIONS MANUAL,  
COMDTINST M4121.4

1. PURPOSE. To provide changes to the Coast Guard Uniform Supply Operations (USO) Manual, COMDTINST M4121.4.
2. ACTION. Chiefs of offices at headquarters, ARSC, and ELC commanding officers shall ensure compliance with this manual. Should this Manual conflict with a higher level directive, that directive takes precedence.
3. DIRECTIVES AFFECTED. None.
4. SUMMARY OF MAJOR CHANGES. Significant changes to the Manual are marked with a vertical line. Editorial changes are not marked. Chapter 7 - Cataloging policy is updated to specify certain conditions when dual stocking is authorized.
4. PROCEDURES. Remove and insert the following pages:

**REMOVE**

**INSERT**

Chapter 7

Page 7-1 and 7-2

Page 7-1 thru 7-3

5. FORM/REPORTS. None

L. F. BOSMA, CAPT  
DIRECTOR OF LOGISTICS





Commandant  
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COMDTNOTE 4121  
Jun 05, 1997

COMMANDANT NOTICE 4121

CANCELLED: Jun 4, 1998

Subj: CH-1 TO THE COAST GUARD UNIFORM SUPPLY OPERATIONS MANUAL

1. **PURPOSE.** To provide changes to the Coast Guard Uniform Supply Operations (USO) Manual (COMDTINST M4121.4).
2. **ACTION.** Area and District Commanders, Commanders of Maintenance and Logistics Commands, Commanding Officers of Headquarters Units, Assistant Commandants for Directorates, Chief Counsel, and Special Staff Offices at Headquarters shall ensure compliance with the provisions of this Notice.
3. **SUMMARY OF CHANGES.** This Notice reflects changes to the USO manual. It reflects the new organizational staff symbols as a result of Coast Guard Headquarters streamlining and the consolidation of Supply Center Baltimore and Supply Center Curtis Bay into the Engineering Logistics Center. It also changes any reference to Coast Guard Supply Centers to read Inventory Control Points (ICPs).
4. **PROCEDURES.**
  - a. Remove and insert the following pages:

**REMOVE**

Pages 1-1 and 1-2  
Page 5-3  
Page 6-1 and 6-2  
Page 9-1  
Pages 10-1 thru 10-3  
Page 15-1  
Pages G1-1 thru G2-2  
Enclosure 1

**INSERT**

Pages 1-1 and 1-2  
Page 5-3  
Page 6-1 and 6-2  
Page 9-1  
Pages 10-1 thru 10-3  
Page 15-1  
Pages G1-1 thru G2-2  
Enclosure 1

COMDTNOTE 4121

5. FORMS/REPORTS. None.

/s/ R.K. Jones  
Director of Logistics

Encl: (1) CH-1 to Uniform Supply Operations Manual (COMDTINST M4121.4)

COMDTINST M4121.4  
28 NOV 1995

COMMANDANT INSTRUCTION M4121.4

Subj: COAST GUARD UNIFORM SUPPLY OPERATIONS MANUAL

1. **PURPOSE.** To provide Coast Guard Supply Centers (SUPCENS) operational management policies and directives.
2. **ACTION.** Chiefs of offices at headquarters and SUPCEN commanding officers shall ensure compliance with this manual. Should this manual conflict with a higher level directive, that directive takes precedence.
3. **DIRECTIVES AFFECTED.** COMDTINST M4121.2 is canceled
4. **CHANGES.** Changes to this manual will be consecutively numbered and will include reprinted pages when necessary. Comments (recommendations, additions, deletions) and other pertinent data for use in improving this manual may be addressed using the Inquiry Form, enclosure (1), to Commandant (G-ELM).
5. **FORMS.** None.

/s/ E. J. BARRETT  
Chief, Office of Engineering,  
Logistics and Development



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- Enclosure (1) - Inquiry Form
- Enclosure (2) - Physical Inventory Procedures
- Enclosure (3) - Inventory Control Effectiveness Report (ICE)  
Form(CG-5644), Report Control Number (RCN-  
4121-1)

**GLOSSARY**

- 1. Acronyms.....G1
- 2. Customers.....G2





## CHAPTER 1. INTRODUCTION

- A. **Overview.** In day-to-day operations, the Coast Guard (CG) uses many categories of supply items to support its varied missions. The CG supply system exists to obtain Federal Supply System (FSS) support where appropriate, to provide support for CG unique items, and to provide relative information to CG users of the supply system. The CG supply system is part of the larger FSS and takes direction from many different sources. See the "Directives Paragraph" in each chapter of this manual for applicable guidance.
- B. **Purpose.** To provide Inventory Control Points (ICPs) supply policy guidance and standards to ensure that:
1. Spare/repair parts and information are available and affordable to the customer when needed throughout the life cycle of the platform/system/equipment.
  2. Platform/system/equipment operators and maintainers meet their intended operational and maintenance requirements.
- C. **Customer.** Customers are all CG units that require supply support to meet their operational and maintenance needs. (See Glossary G2 of this manual for more detailed information on specific customers.)
- D. **Organizational Responsibilities.** The CG organizational responsibilities for supply are:
1. Commandant (G-S) provides overall management of the CG supply organization (including ensuring annual reconciliation of subsidiary OM&S and inventory records with the Departmental Accounting and Financial Information (DAFIS) General Ledger and Chief Financial Officer Act financial statements).
  2. Commandant (G-SLP) provides supply support policy and is the logistics policy advisor for the ICPs.
  3. Commandant (G-SEA, G-SEC, G-SEN and G-SCE) provide technical guidance and maintenance support requirements.
  4. Commandant (G-A) provides initial supply support requirements for projects for which they are designated as Acquisition Manager. This may be for a new asset or major modification.

5. Commandant (G-CFM), under the direction of Commandant (G-CFP) provides oversight, and financial management standards for OM&S and inventory.
6. Coast Guard Finance Center (FINCEN) maintains DAFIS General Ledger balances for OM&S and inventory.
7. All other Headquarters offices provide operational supply support requirements which are generally contained in the Integrated Logistics Support Plans (ILSPs).
8. ICPs manage CG supply support operations and function as Inventory Control Points (ICPs). ICPs are assigned the primary responsibility for total material management of CG systems. This responsibility includes: provisioning, physical and/or financial accountability of OM&S and inventory under their control, inventory management, cataloging, procurement, warehousing, distribution management, disposal and promulgating related technical information. The ICPS/ICPs designators are:
  - a. Commanding Officer Aviation  
U.S. Coast Guard Aircraft Repair & Supply Center  
Elizabeth City, NC 27909-5001
  - b. Commanding Officer HM&E/ELEX  
U.S. Coast Guard Engineering Logistics Center  
2401 Hawkins Point Road  
Baltimore, MD 21226-1792
10. Headquarters units, Maintenance and Logistics Commands (MLCs), districts and operating units are the primary customers. In addition and equally important, they perform maintenance and assist in developing the maintenance plans that outline the follow-on life cycle supply support infrastructure.

**CHAPTER 2 - RESOURCE MANAGEMENT**

- A. Overview. The resource management process ensures that ICP's resource allocations are used properly by providing oversight to personnel administration, training programs, financial management, management information systems and all other operational and quality assurance processes. Resource management includes planning for the future plus identifies existing resource requirements and shortfalls and forwards them in the form of proposals into the resource allocation process.
- B. Resource Management Directives.
1. Coast Guard Logistics Doctrine, COMDTINST 4000.5
  2. Engineering Logistics Steering Committee Charter, COMDTINST 4000.6
  3. Paperwork Management Manual, COMDTINST M5212.12
  4. Aeronautical Engineering Maintenance Management Manual, COMDTINST M13020.1 (series)
  5. Supply Center Curtis Bay Organization Manual, SUPCENCBINST 5400.2 (series) (NOTAL)
  6. Supply Center Baltimore Organization Manual, SUPCENBALINST M5400.2 (series) (NOTAL)
- C. Policy. ICPs shall develop and maintain resource management programs that:
1. Ensure all personnel actions, both military and civilian, are accomplished in a timely and efficient manner,
  2. Ensure that training plans provide for employee development which will result in a well trained professional work force,
  3. Develop input into the Resource Proposals (RPs) and Resource Change Proposals (RCPs) with supporting documentation that is consistent with Headquarters guidelines (see Chapter 3, Financial Management, of this manual),
  4. Ensure the existence and proper execution of a financial plan (see Chapter 3, Financial Management, of this manual),
  5. Ensure the existence and proper execution of an Information Resources Management (IRM) program (see Chapter 4, Information Resources Management, of this manual),

COMDTINST M4121.4

6. Ensure the existence and proper execution of a Quality Assurance (QA) process (see Chapter 14, Quality Assurance (QA), of this manual), and
7. Ensure that all records are managed in accordance with the Paperwork Management Manual, COMDTINST M5212.12.

## CHAPTER 3. FINANCIAL MANAGEMENT

- A. **Overview.** The financial management process is the planning and oversight of all actions, within the guidelines of the Chief Financial Officer (CFO) Act of 1990 that affect the management of inventory, and the use of CG funds. To be successful, the process requires input and accountability from all levels of the ICPs. The major components of financial management are:
1. Funding Sources. The ICPs are funded from several appropriations:
    - a. Operating Expenses (OE), Allotment Fund Code (AFC-30, AFC-41, AFC-42, AFC-45, AFC-56, and AFC-80)
    - b. Acquisition, Construction and Improvements (AC&I)
    - c. Acquisition, Construction and Improvements (EC&R)
    - d. Supply Fund (SF) (Applicable to ELC only)
    - e. Industrial Fund (Applicable to the CG Yard only)
  2. Resource Funding Requirements. Resource funding requirements such as the annual budget and RCPs must consider:
    - a. Inventory replacement costs (OE, AC&I and SF),
    - b. Capital authorization for supply fund,
    - c. Funding requirements for RPs,
    - d. Costs to transition an AC&I funded project over to the OE sustainment life cycle phase, e.g., transitioning AC&I temporary billets to OE funded billets, and
    - e. Annual facility operating and maintenance costs.
  3. Funds Management/Cost Accounting. The financial management/cost accounting process addresses the overall cost to operate, such as:
    - a. Administrative costs,
    - b. Actual procurement costs,
    - c. Cost to repair, manage a reparable program and justify repair versus replacement, and
    - d. Cost of excess, Obsolete & Unserviceable stock valued at net realizable value.

## **B. Financial Management Directives.**

1. Financial Resource Management Manual, COMDTINST M7100.3 (series)
2. Statement of Federal Financial Accounting Standards (SFFAS) #3, “Accounting for Inventory and Related Property”
3. Statement of Federal Financial Accounting Standards (SFFAS) #6, “Accounting for Property, Plant and Equipment”
4. Military Standard Billing System (MILSBILLS) Manual, DOD 4000.25-7-M
5. CG Finance Center Standard Operation Procedure (FINCEN SOP), FINCENSTFINST M7000.1 (series) (NOTAL)
6. Federal Financial Management System Requirements (FFMSR-7), “Inventory, Supplies and Materials Systems Requirements (JFMIP-SR-03-02), August 2003.”

## **C. Policy.**

1. Financial Management. The financial management process shall include funding requirements planning, budget submission, and financial accountability of inventory, consumables (OM&S) and reparables (PP&E) in accordance with current directives, paragraph 3.B above. The ICPs shall:
  - a. Prepare and submit budget requests (spend plan) annually,
  - b. Prepare and submit RPs per applicable directives,
  - c. Prepare and submit applicable financial statements to FINCEN and HQ Program Offices IAW with the Financial Resource Management Manual (FRMM). Exclude Navy Type/Navy Owned from CG financial reporting. Report NTNO to Navy. Ensure OM&S, PP&E and inventory are categorized IAW FASAB #3 and #6.
2. Funds Management/Cost Accounting. The funds management/cost accounting process shall include, at a minimum:
  - a. The weighted average cost method will be used for valuing OM&S, PP&E, and inventory. All production, manufacturing, and transportation costs, if obtainable at time of receipt processing, shall be included in the cost of the item. A unit price shall be recorded for reporting and accounting purposes. An audit trail shall be maintained to support the valuation of all ICP stock. Documentation shall be kept to support valuation for the current fiscal year, and three previous fiscal years.

- b. Contract management/variable cost to order determinations:
    - 1. Labor; direct and indirect, and
    - 2. Support costs that include the requirements notice, mailing the contract or order, contract administration, receiving and processing the physical asset into the warehouse.
  - c. Current, accurate and complete information to determine the Cost of Goods Sold for the year.
3. Expenditures.
- a. Expenditure transactions shall be processed in accordance with current directives.
  - b. MILSBILLS transactions transmitted between DLA, Defense Automatic Addressing System Office (DAASO), and CG ICPs shall be in accordance with MILSBILLS change letter 47 (AMCL 47), G Series Billing Records for Automated Support of Non-interfund Bills.
  - c. Other government expenditure transactions with DOD (Army, Navy, etc.) and other non-military government agencies are manual billing (paper, card or tape SF 1080) via mail, cross disbursements and the On-Line Payment and Credit (OPAC) program.
  - d. Commercial expenditures are normally manual billings.





## CHAPTER 4 - INFORMATION RESOURCES MANAGEMENT (IRM)

- A. Overview. The IRM process provides both manual and automated data processing systems support. This includes performing business process analysis, maintaining computer hardware and software, and operating and maintaining the command's telephone system. The IRM process is also the window through which the ICPs communicate with other CG and government systems. The future goal of IRM systems must include standardization and configuration control. This leads into the need for Configuration Control Boards (CCBs), data standardization and a data element dictionary. This requirement will become more prominent as we field the Supply Centers Computer Replacement (SCCR) hardware and software and the follow-on Fleet Logistics System (FLS).
- B. IRM Directives.
  - 1. Standard Terminal Application Software Support, COMDTINST 5230.32
  - 2. Standard Word Processing Software, COMDTINST 5230.35
  - 3. Standard Workstation Technical Support Plan, COMDTINST 5230.36
  - 4. Coast Guard Standard Workstation System Management, COMDTINST 5230.40 (series)
  - 5. Information Resource Management, COMDTINST 5230.41
  - 6. Annual Coast Guard Information Resources Management (IRM) Plan, COMDTINST 5230.44
  - 7. FY 1994 Annual Five Year Information Resource Management Plan (5YIRMP), COMDTPUB P5230.46
  - 8. Planning Approval for Automated Information Systems (AIS), COMDTINST 5231.2
  - 9. Automated Data Systems (ADS) Documentation Standard Manual, COMDTINST 5234.2
- C. Policy. ICPs shall administer and maintain an IRM program that provides:
  - 1. Long-range IRM planning including internal training,
  - 2. Data processing system support, both manual and automated,
  - 3. Integrity of data maintained within the system and application operations,

COMDTINST M4121.4

4. System security, disaster recovery and backup,
5. IRM consultant services required. This includes Headquarters, the command, contractors and customers,
6. Operational and maintenance support of the computer systems, both hardware and software,
7. Operational and maintenance support of the command's telephone system, and
8. The point of contact for CG and OGAs that interface within the FSS, such as:
  - a. Defense Automatic Addressing System Office (DAASO)
  - b. Defense Automated Message Exchange System (DAMES)
  - c. Defense Logistics Services Center (DLSC)
  - d. Military Standard Requisitioning & Issue Procedures (MILSTRIP) transactions
  - e. Military Standard Transaction Reporting & Accounting Procedures (MILSTRAP) transactions
  - f. Aviation Maintenance Management Information System (AMMIS).

CHAPTER 5 - PROCUREMENT.

A. Overview. Procurement is the process of procuring goods and/or services that the ICPs require to accomplish their assigned task. Due to the many variables and regulations in the government procurement process, an effective procurement management process must be in place. Procurement management ensures that all contractual documents are properly planned, comply with appropriate laws, regulations, solicitation specifications and evaluations. Also included are contractual and funding obligation procedures that provide for timely delivery of goods and services, and adequate QA and inspection procedures. (See Chapter 14, Quality Assurance (QA), of this manual.) The CG/government currently uses four methods of procurement:

1. Formal Contracts. Procurement requirements with a value above the small purchase funding threshold addressed in the Federal Acquisition Regulations (FAR) will be procured using the federal regulations and CG formal contracts procedures.
2. Small Purchase. Procurement requirements with a value below the formal contracts funding threshold addressed in the FAR will be procured using the federal regulations and CG small purchase procedures.
3. Military Interdepartmental Purchase Request (MIPR). The MIPR is the method of procuring materials, supplies and/or non-personal services via an OGA source.
4. Requisition. Requisitioning is the method of procuring items of supply through the FSS. MILSTRIP/MILSTRAP are the processes used:
  - a. MILSTRIP is the process used to requisition items of supply and to obtain supply advice, supply status, material issue, material receipt, material returns and redistribution of material.
  - b. MILSTRAP is the process used to report inventory accounting information pertaining to material receipt, material issue and adjustment actions between stock locations, ICP and Integrated Material Manager (IMM).

B. Procurement Directives.

1. Federal Acquisition Regulations (FAR)
2. Federal Information Resource Management Regulation (FIRMR)
3. Transportation Acquisition Regulations (TAR)

COMDTINST M4121.4

4. MILSTRIP Manual, DOD 4000.25-1-M
  5. MILSTRAP Manual, DOD 4000.25-2-M
  6. Specification Development Manual, COMDTINST M4121.3
  7. Systems Acquisition Manual, COMDTINST M4150.2 (series)
  8. Processing and Handling of Unsolicited Proposals, COMDTINST 4200.7 (series)
  9. Small Purchase Handbook, COMDTINST M4200.13 (series)
  10. Coast Guard Acquisition Procedures (CGAP), COMDTINST M4200.19 (series)
  11. Specification Streamlining for Acquisitions, COMDTINST 4200.25
  12. Procurement Management Reviews, COMDTINST 4200.30 (series)
  13. Competitive Advocate Program, COMDTINST 4200.31
  14. Contract Information System (CIS) Reporting of Awards to Emerging Small Businesses, COMDTINST 4200.32
  15. Coast Guard Abolish Red Tape in Contracting (ARTIC) Program, COMDTINST 4200.42 (series)
  16. Competitive Negotiation Handbook, COMDTINST 4200.43
  17. Automatic Requisition Management System (ARMS) User's Manual, COMDTINST M4400.15
  18. Policy for Navy Support of U.S. Coast Guard, OPNAVINST 4000.79
  19. Reporting Suspected Overpriced Parts, COMDTINST 4408.7
  20. Spare Parts Breakout (SPBO) Program, COMDTINST 4408.8
- C. Policy. ICPs shall procure goods and services required to function within their defined area of authority and accomplish their assigned tasks. All procurements shall comply with the FAR and Coast Guard Acquisition Procedures (CGAP).
1. MILSTRIP/MILSTRAP information shall be transmitted to the Defense Automatic Addressing System Center (DAASC) in accordance with MILSTRIP Manual, DOD 4000.25-1-M and MILSTRAP Manual, DOD 4000.25-2-M.

2. Commandant (G-SLP) is the CG focal point for MILSTRIP/MILSTRAP. ICPs shall coordinate new requests and changes to MILSTRIP/MILSTRAP system through Commandant (G-SLP). ICPs shall review and respond/comment to Commandant (G-SLP) on MILSTRIP/MILSTRAP Proposed Mil Change Letters (PMCLs) and/or Approved Mil Change Letters (AMCLs). When directed by Commandant (G-ELM), ICPs shall carry out new requests or changes to MILSTRIP/MILSTRAP.



## CHAPTER 6. PROVISIONING

- A. Overview. Provisioning is one of the most important elements of Integrated Logistics Support (ILS). It is the process of determining the range and depth of spare parts required to sustain a platform/system/equipment. The objective is to ensure that replacement parts are available when needed by maintenance personnel at the right place and time, and at an economical cost. It is the cornerstone for establishing initial and life cycle supply support.
1. Provisioning Planning. Proper planning must be addressed when determining provisioning requirements, such as:
    - a. Clearly defined operational, maintenance and support concepts,
    - b. Develop system or equipment maintenance plan(s),
    - c. Identify necessary resources, both funds and personnel,
    - d. Develop the provisioning requirements that provide supply support to the maintenance plan, and
    - e. Develop interim supply support requirements.
  2. Technical Support Managers. Technical support data required to perform the provisioning process is provided by Technical Support Managers (Commandant (G-SEA), (G-SEC), (G-SEN) and (G-SCE)). This data shall include:
    - a. Initial logistic and maintenance support outline,
    - b. Mission criticality codes to operational systems and equipments, and
    - c. Level of repair determinations (organization, intermediate or depot) for end items, operational systems and support equipments. Determine maintenance codes that reflect these decisions.
  3. Provisioning Process. Provisioning Activities/ICPs are responsible for performing the provisioning process. This includes the more detailed functions, such as:
    - a. Participate as a member of the Integrated Logistics Support Management Team (ILSMT) ,
    - b. Assist the ILSMT when developing the detailed provisioning requirements,
    - c. Develop Interim Support Allowance Parts Lists as directed,

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- d. Build initial outfit lists as directed,
- e. Prepare budgets and resource requirements (spare parts, personnel, facilities, etc.) for both initial provisioning and projected life cycle operational supply support, including depot level repair programs,
- f. Chair guidance and provisioning conferences,
- g. Review Provisioning Technical Documentation (PTD) and make allowance determinations that supports the MSO,
- h. Build a complete and accurate operational platform allowance document that reflects configuration, level of support and maintenance philosophies as directed,
- i. Initiate new supply support items into the FSS as required and resourced,
- j. Initiate interservice support agreements with OGAs,
- k. Interface with Project Resident Office (PRO) to enhance documentation flow, routine contract interpretations, contractor liaison, conference arrangements and other provisioning functions as required, and
- l. Provide follow-on provisioning as required to achieve the supply support required to sustain an operational platform throughout its entire life cycle.

B. Provisioning Directives.

- 1. Systems Acquisition Manual, COMDTINST M4150.2 (series)
- 2. Provisioning Manual for Major Systems Acquisitions, COMDTINST M4423.3
- 3. Acquisition and Management of Integrated Logistics Support (ILS) for Coast Guard Systems and Equipments, COMDTINST 4105.2 (series)
- 4. Integrated Logistics Support Plan (ILSP) Development and Management Responsibility, COMDTINST 4105.1
- 5. Logistics Support Analysis (LSA), MIL-STD-1388-1A (NOTAL)
- 6. Logistics Support Analysis Record (LSAR), MIL-STD-1388-2B (NOTAL)
- 7. Supply Policy and Procedures Manual, COMDTINST M4400.19



8. Provisioning and Other Preprocurement Screening Manual, DOD 4100.38-M
  9. Spare Parts Breakout (SPBO) Program, COMDTINST 4408.8
  10. Coast Guard Standardization Program, COMDTINST 4200.38 (series)
  11. U.S. Coast Guard Specification for Provisioning Technical Documentation, SUPCENCB 4210-D-083-002 (NOTAL)
  12. U.S. Coast Guard Interim Support Item List (ISIL), SUPCENCB 4201-D-083-004 (NOTAL)
  13. Electronics Manual, COMDTINST M10550.25 (series)
- C. Policy. The provisioning process shall be used for all new acquisitions requiring maintenance and operational supply support.
1. For a major system acquisition, defined in the Systems Acquisition Manual, COMDTINST M4150.2 (series), the provisioning process shall be performed in accordance with this document and the Provisioning Manual for Major Systems Acquisitions, COMDTINST M4423.3.
  2. Acquisitions not qualifying as "Major System" but still requiring supply support shall be provisioned per the sponsor's requirements and the appropriate provisioning activity's provisioning procedures.
  3. Provisioning activities shall have documented provisioning procedures to ensure that initial and life cycle supply support is available.
  4. Provisioning and the associated allowances shall be based on clearly defined readiness objectives, maintenance programs, the appropriate provisioning model and available resources. Departure from the provisioning model must be approved by the acquisition manager or sponsor and documented for future reference.
  5. The complete provisioning process may not be required for a new mission essential system and/or equipment acquisitions when:
    - a. The documentation and repair/spare parts required for maintenance and repair are already available and their continued availability is assured, and
    - b. The Acquisition Manager as defined in the Engineering Logistics Concept of Operations (ECONOP), for whatever reason, has determined that documentation and supply support are not required. This determination shall be in writing and placed on file.

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6. The provisioning process (reprovisioning), when tasked and funded, shall be repeated as necessary to maintain the supply support of a platform through its various life cycle stages. (See Chapter 12, Supply Support Review Program, of this manual.)

## CHAPTER 7. CATALOGING

- A. **Overview.** Cataloging includes researching and codifying all CG managed items of supply for registration into the CG and/or FSS. Identification data, Federal Supply Class (FSC) assignment, item characteristics, management criteria and associated Federal Logistics Information System (FLIS) data are formatted and submitted to DLSC for inclusion in the Federal Total Item Record (TIR). The cataloging process also consists of supply support coordination for items of supply for which the CG is a user but where the items are managed and supported by OGAs. The following functions comprise the overall cataloging process:
1. Item Entry. The initial documentation proposing the addition of a new item of supply into the FLIS. This includes the manufacturer's Commercial and Government Entity (CAGE) code, an item identifying reference number, salient characteristics and proposed management criteria.
  2. Technical Information Management. Developing cataloging, disseminating and maintaining current records of all relative descriptive data required to manage and advertise CG items of supply.
  3. Inter-service Supply Support. The coordination between the CG and OGAs required to establish, stock, store and issue an item of supply required by the CG but managed by an OGA. This includes direct supply support, Primary Inventory Control Activity/Secondary Inventory Control Activity (PICA/SICA) and dual management of support.
  4. Cataloging Related Programs. Full participation in DLA programs, e.g., Item Standardization Studies, Diminishing Manufacturers Source (DMS) cases, Government Industry Reference Data Edit Review (GIRDER), etc. to ensure that the CG has technical and logistical input into decisions that may impact our mission.

B. **Cataloging Directives.**

1. Federal Logistics Information System (FLIS) Procedures Manual, DOD 4100.39-M
2. Federal Catalog System Policy Manual, DOD 4130.2-M
3. Defense Standardization Manual, DOD 4120.3-M
4. Defense Integrated Materiel Management Manual for Consumable Items, DOD 4140.26-M
5. Defense Automatic Addressing System (DAAS), DOD 4100.29-M
6. Defense Inactive Item Program (DIIP), DOD 4140.32-M
7. Department of Transportation Participation in the Federal Catalog System, DOT 4420.3
8. Supply Policy and Procedures Manual, COMDTINST M4400.19A
9. Wholesale Inventory Management and Logistics Support of Multiservice Used Non-consumable Items, NAVSUPINST 4790.7
10. Federal Catalog System Logistics Data (FRMP 101-30.3), GSA Handbook

C. **Policy.**

1. ICPs shall perform all cataloging functions required to establish and maintain identification, technical and management data for CG managed items of supply.
2. ICPs shall actively interface with all cataloging related OGA activities to safeguard CG interests and prevent a negative impact on our mission.
3. ICPs shall establish inter-service supply support requirements/requests with OGAs to ensure uninterrupted support and maintenance as required. If there is a requirement to dual manage, ensure that a memorandum/response from PICA which provides the purpose and rationale for managing is enclosed in the stock number folder.

4. For cost effectiveness, dual stocking shall be kept at a minimum. However, when there is a need, ICPs are authorized to dual stock under the following conditions. If the material,
  - a. Is CG YARD retail inventory for a project,
  - b. Is for the repair facility at ARSC,
  - c. Is for HQ's projects,
  - d. Is coded as managed (including reparable) by the CG (PICA/SICA),
  - e. Management transferred from CG to OGA. Temporarily stock till Gaining Item Manager (GIM) is in the position to support the CG. Periodically, check with GIM on support.
  - f. Is mission or safety critical and reported to the OGA manager under a Quality Deficiency Report; ensure there is documentation in the stock record to support stock. Periodically, check with OGA manager on support.
  - g. Has a Long Lead Time (usually insurance), or mission/flight critical items,
  - h. Is managed as consumable to the OGA manager. However, repair calculations make it economical for the CG to repair as an intermediate level reparable,
  - i. Is type 1, 2, 4 and 6.



**CHAPTER 8 - SUPPLY SUPPORT DATA MANAGEMENT**

- A. Overview. The supply support data management process documents and validates platform level configuration and its associated allowance requirements. This includes all assigned platforms, systems, equipments and equipage defined in COMDTINST 4130.6, Coast Guard Configuration Management policy. The supply support data management process also addresses changes ensuring configuration and technical information control. Following are the products of the ICP generated configuration and supply support allowance process:
- a. The Aircraft Material Stocking List (CG-298) provides supply support allowance documentation for aircraft and air stations.
  - b. The Boat Outfit and System Support (BOSS) provides configuration and recommended supply support allowance documentation for standard boats under 65' in length that have no assigned Operating Facility Accounting Code (OPFAC).
  - c. The Combined Allowance for Logistics, Maintenance and Support (CALMS) provides Hull, Mechanical & Electrical (HM&E) configuration and supply support allowance documentation for standard CG Cutters 65' in length and larger with an OPFAC.
  - d. The Consolidated Shipboard Allowance List (COSAL) provides ordnance configuration and supply support allowance documentation of Navy-owned equipment installed at CG units. It also may include configuration and supply support allowance documentation of CG-owned small arms. The ordnance COSAL is often referred to as the CG ordnance CALMS.
  - e. The Electronics Repair Parts Allowance List (ERPAL) provides supply support documentation for standard electronic equipments installed at CG units.
  - f. The ERPAL for HM&E equipments (HM&E ERPAL) provides supply support documentation for HM&E electronic equipments installed at CG units.
- B. Supply Support Data Management Directives.
- 1. Long Range Planning of Logistics Support for Operational U.S. Coast Guard Cutters, COMDTINST 4105.4
  - 2. Coast Guard Configuration Management, COMDTINST 4130.6
  - 3. Cutter Configuration Control Board, HQINST 4130.5 (NOTAL)

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4. Aircraft Configuration Control Board Process Guide (NOTAL)
5. Logistics Support for Deployed Units, COMDTINST 4080.1
6. Operational Logistics Support Plan (OLSP) Development and Management Responsibility, HQINST 4081.2 (NOTAL)
7. Afloat Supply Procedures Manual, COMDTINST M4400.17
8. Supply Policy and Procedures Manual, COMDTINST M4400.19
9. Coast Guard Standardization Program, COMDTINST 4200.38 (series)
10. Electronics Manual, COMDTINST M10550.25 (series)
11. Electronics Materiel Identification Manual, E/GICPINST M4410.5 (series) (NOTAL)
12. Ships Configuration and Logistics Support Information System (SCLSIS) Technical Specification 909-700 (series)
13. COSAL Use and Maintenance Manual, SPCCINST 4441.170
14. Policy for Navy Support of U.S. Coast Guard, OPNAVINST 4000.79
15. Aeronautical Engineering Maintenance Management Manual, COMDTINST M13020.1 (series)
16. Systems Acquisition Manual, COMDTINST M4150.2 (series)

C. Policy.

1. Platform level configuration and supply support data shall be managed by the Configuration Control Board (CCB) process. See the Aircraft Configuration Control Board (ACCB) process Guide and/or HQINST 4130.5, Cutter Configuration Control Boards for applicable processes.
2. ICPs shall manage the configuration data and related supply support documentation for all platforms assigned under their cognizance. (See detail list of customers, Glossary 2 of this manual.) The tasking will identify the range and depth of the configuration, supply support and documentation required. Configuration Management (CM), Configuration Item (CI) and elements of CM are defined in COMDTINST 4130.6, enclosure (2). This shall include:
  - a. Initial preparation and issuance of a platform's configuration and applicable supply support documents,



- b. Updating and distributing the configuration and supply support data changes required to maintain the document, and
  - c. Providing training as required.
- 3. ICPs shall review Allowance Change Requests (ACRs) and forward them with recommendations including resource impact to the approving authority.  
Note: The approving authority is normally the facility manager. This authority may be delegated in writing to the ICP.
- 4. ICPs are the receiving points for all Configuration Change Requests/Reports (CCRs). They shall review the CCRs and take appropriate action:
  - a. CCRs requiring approval shall be forwarded to the appropriate CCB with recommendations including resource impact,
  - b. If the CCR is approved, make adjustments to the configuration and supply support documents as applicable, and
  - c. If the CCR does not meet the criteria addressed in paragraphs 8.C.4.a and b above, no action is required.
- 5. ICPs, in accordance with the applicable directives, shall periodically validate the configuration and supply support documents of the operational units within their cognizance.
- 6. ICPs shall, at regular intervals, issue revised configuration and supply support documents to the operational units under their cognizance.



## **CHAPTER 9. SPARE PARTS BREAKOUT (SPBO) PROGRAM**

### **A. Overview.**

1. The SPBO program is a detailed technical research process focused on identifying competitive sources for parts that were previously purchased from a sole source. Since significant funds are expended for acquisition and management of parts, it is imperative we seek as much competition as possible.
2. The SPBO program at the CG ICPs has the following objectives:
  - a. Enhance competitive procurements,
  - b. Increase availability,
  - c. Improve reliability, and
  - d. Lower costs.

### **B. Spare Parts Breakout Directives.**

1. Defense Federal Acquisition Regulation Supplement (DFARS), Appendix E - DOD Spare Parts Breakout Program
2. Spare Parts Breakout (SPBO) Program, COMDTINST 4408.8
3. Reporting Suspected Overpriced Parts, COMDTINST 4408.7
4. Spare Parts Control, SUPCENCBINST 4408 (series) (NOTAL)

### **C. Policy. ICPs shall:**

1. Develop in-house procedures to accomplish the responsibilities and objectives outlined in the SPBO directives listed above,
2. Perform a SPBO limited/full screening of all spare parts carried in their inventory that are subject to breakout,
3. Assign Acquisition Method Codes (AMCs) and Acquisition Method Suffix Codes (AMSCs) to all spare parts maintained that are subject to breakout, and
4. Accumulate appropriate data and submit SPBO reports to G-SLP via Commandant (G-SEN or G-SEA) annually as required by COMDTINST 4408.8.



## CHAPTER 10. INVENTORY MANAGEMENT

### A. Overview.

1. The Inventory Control Point (ICP) inventory management process involves obtaining, managing and delivering items of supply to Coast Guard (CG) platforms, systems and equipment. Timely and accurate categorization of ICP stock items at introduction and during life cycle management is essential to logistics support, valuation, and financial reporting.
2. Inventory Managers (IMs) are assigned the primary responsibility for the management of assigned items of supply. IMs obtain and distribute stock in such a manner to provide effective and efficient supply support to their customers. Stock is defined as consumable and reparable spare parts stocked at ICPs and at authorized remote locations (e.g. Air Stations, Navy Depots). ICPs shall ensure that stock records are properly coded to categorize the following categories of stock items at all authorized locations:
  - a. Demand Development – New item of supply that has not reached maturity to establish a demand history. Items are kept in a demand development category for a period of five (5) years from date of first registered demand. After the demand development period expires, items are re-categorized as demand. Most items in this category have extremely limited on hand quantities, or are procured and shipped to a customer after the customer submits a requisition. These stock items are considered Held for Sale/Use.
  - b. Demand - An item of supply that is procured and stocked, and replacement is predicted as a result of usage. Stocking levels are based on known or anticipated usage. These stock items are considered Held For Sale/Use.
  - c. Foreign Military Sales (FMS) – An item of supply that is held for authorized recipients for a specified period under guidelines established by International Affairs (G-CI). These stock items are considered Held for Sale/Use.
  - d. Insurance Item - An item of supply that is procured and stocked because essentiality dictates that a minimum quantity be available in the supply chain. No replacement is predicted through normal usage, but if damage or loss occurs through accident, abnormal equipment or system failure, or other unexpected occurrences, lack of replacement would seriously degrade the operational capability of the system or platform. Stocking levels shall be computed in accordance with the guidelines established within this chapter. These stocked items are considered Held in Reserve for future Sale/Use.
  - e. Navy Type Navy Owned – Items of supply that are owned and supported by the Navy. These stock items are excluded from Coast Guard financial reporting, and are reported to the Navy in accordance with published Navy reporting requirements.

These items are free issue to the Coast Guard. Navy provides funding for repair. These parts provide interoperability with the Navy.

- f. Project Materiel – An item of supply that is held for a specific purpose, with a specific start and end date, and a specific authorized recipient. These stock items are considered Held in Reserve for Future Sale/Use.
  - g. Government Furnished Material (GFM) – An item of supply that is issued and consumed in the manufacturing or repair process. This item is not returned to the ICP. These stock items are considered Held in Reserve for Future Sale/Use.
  - h. Government Furnished Equipment (GFE) – An item of supply that is used to assist in the manufacture or repair process. The item is loaned and is returned to the ICP after completion of repair or manufacture. These stock items are considered Held in Reserve for Future Sale/Use.
  - i. Long Supply – The increment of stock quantity identified either by systematic or manual calculations that is above the economic retention limit or numeric insurance level, and must be reviewed to see if economic retention factors can be applied. Because supply requirements usually fluctuate over a period of time, a long supply quantity, which is 10 percent or less of the total stock quantity of the item is considered marginal and need not be reviewed or reduced.
  - j. Excess, obsolete and unserviceable – Stock that exceeds the demand expected in the normal course of operations because the quantity on hand is more than can be issued/sold in the foreseeable future, and that does not meet management's criteria to be held in reserve for future sale. Excess stock is a quantity of an item that has been declared excess after review by logistics personnel. Obsolete stock is a quantity of an item that is no longer useable due to changes in technology, laws, customs or operations. Unserviceable (scrap, condemned) is stock that is damaged and can no longer be economically repaired, or a stock item that has been identified by a customer as non-conforming, or a stock item that has been received from purchase or repair in a non-conforming state. It has been determined that it is more cost effective to re-procure than to repair the stock item.
3. The inventory management process is influenced by many variables, such as:
- a. The provisioning process,
  - b. Funding levels and sources,
  - c. Operational criticality,
  - d. Inventory stratification.
  - e. Projected materiel availability over the life cycle of the item,
  - f. Procurement and repair lead time, and

- g. Reparability of the item of supply.
- h. Variability of demand.
- i. Valuation requirements
- j. Accounting and Reporting requirements

**B. Inventory Management Directives.**

1. Code of Federal Regulations (CFR), Chapter 41, Subpart 101-27.3
2. Depot Maintenance Inter-service Agreements, OPNAVINST 4790.14
3. Policy for Navy Support of U.S. Coast Guard, OPNAVINST 4000.79
4. Coast Guard Engineering Logistics Concept of Operations (ECONOP), COMDTINST 4100.7 (series)

**C. Policy.**

ICPs shall:

1. Develop and maintain local criteria and documentation to identify stock items, and apply economic retention factors as defined in the Code of Federal Regulations Chapter 41, Subpart 101-27.
2. Develop and document cost effective inventory management processes that provide sustainment for platforms, systems and equipment.
3. Manage ICP stock in the following manner:
  - a. CG demand and insurance items, consumable and reparable, under the cognizance of Aircraft Repair and Supply Center (ARSC) shall be managed as Operating Expense (OE) items, free issue.
  - b. CG demand items, consumable and reparable, under the cognizance of Engineering Logistics Center (ELC) should be initially managed as OE items. Usage data for consumables shall be monitored for possible item transfer to SF management.
    - (1) Consumable OE managed items experiencing four (4) or more demands within one (1) year shall become a candidate for transfer to a SF management.

- (2) Consumable OE managed items experiencing eight (8) demands within a two (2) year period should normally be transferred to SF management.
  - (3) OE managed items may be free issue or pay as you go. This shall be determined by the cognizant ICP.
- c. Demand stock levels shall be based on Supply Chain Management principles best suited to the commodity of supply managed.
- d. Insurance item stocking levels shall be determined by the method addressed in (Figure 10-1).
- e. Cost-to-hold reflects the monetary penalty to hold stock in anticipation of future use. This cost is a direct function of the amount of stock on-hand and is expressed as the average cost per year. The cost-to-hold consists of the charge for investment of capital tied-up in stock, losses due to obsolescence or other reasons (e.g. over-forecasting of requirements, and deterioration beyond the point of use), storage costs and losses (e.g. pilferage, shrinkage, and stock adjustments).
- 4. Long supply and insurance item stock shall be stratified and documented at least quarterly.
- 5. Items in stock shall be reviewed on an annual basis to identify those items that are inactive and slow moving.
- 6. Reparable programs shall be developed and maintained (See Repair Programs chapter of this manual).
- 7. Inter-service agreements shall be entered into as necessary to foster supply support.
- 8. PICA/SICA and/or dual management supply support arrangements with OGAs shall be entered into as necessary to meet customer requirements.
- 9. Position stock as necessary to enhance supply support.
- 10. Dispose of excess stock through the Defense Reutilization and Marketing Office (DRMO) or other approved methods.



## COMPUTING NUMERIC STOCKAGE LEVEL FOR INSURANCE ITEMS

*A. Basic Level.* Quantities extracted from the following matrices are the basic stock quantities, based on the installed population and procurement/repair lead-time. Minimum quantity should be equal to sustain at least one platform.

### 25 or fewer platforms

Installed population per platform X Applicable value under procurement lead-time	Procurement/repair lead-time in months				
	0-6	7-12	13-18	19-24	25+
	1	1	1	2	2

### More than 25 platforms

Minimum quantity should be equal to sustain at least two platforms.

Installed population per platform X Applicable value under procurement Lead-time	Procurement/repair lead-time in months				
	0-6	7-12	13-18	19-24	25+
	2	2	2	2	2

Should an insurance item cross platforms and the installed quantity vary, the minimum stock level shall be based on the total fleet population.

**Exceeding the above levels.** The quantities indicated in the above matrices normally provide an adequate numeric stocking level for insurance items. However, the quantities may be exceeded based on the Supply Manager's (as defined in the ECONOP) documented need or forecast, the supply status of the item, investment costs and the expected cost of non-availability. The Supply Manager shall document the circumstances and retain for future reference.

Figure 10-1

3.	<u>STORAGE COSTS:</u>		
a.	Columbia Warehouse Rental Costs (MIPR with GSA)	\$0.00	
b.	Personnel Costs Curtis Bay/Columbia (Warehouse Personnel not included in CTO portion - excluding Overhead)	\$0.00	
c.	Operating Costs Curtis Bay/Columbia (3000DH & 3000DI accounts from FYXX Target Rept)	\$0.00	
d.	Remote Warehouses (Puget Sound & Barstow) (MIPR with GSA)	\$0.00	
e.	Grand Total Storage Costs (Sum 3a-3d)	\$0.00	
f.	Inventory Value (ELC and Yard General Ledgers)	\$0.00	
g.	Storage Cost Percentage (Grand Total Storage Costs divided by Inventory Value)		0.00%
4.	<u>OTHER GAINS/LOSSES:</u>		
a.	Inventory Gains (ALMIS or FLS Queries and MSAS Reports)	\$0.00	
b.	Inventory Losses (ALMIS or FLS Queries and MSAS Reports)	\$0.00	
c.	Net Gain (Gains minus losses)	\$0.00	
d.	Inventory Value (ARSC or ELC and Yard General Ledgers)	\$0.00	
e.	Other Gains/Losses Percentage (.02)% (Net Gain divided by Inventory Value)		0.00%
5.	<u>GRAND TOTAL COST TO HOLD PERCENTAGE:</u> (Item 1 + 2c + 3g + 4e = 5)		0.00%

FIGURE 2

## **CHAPTER 11 - REPARABLES PROGRAMS**

**A. Overview.** Many equipment, assemblies and subassemblies are candidates for the reparable program. The repair of an unserviceable item, as an alternative to replacing it with a new one, is a method of supply support that may be an economical and an effective means of satisfying maintenance requirements. However, the fact that an item can be repaired and returned to service does not imply it is always economical or efficient to do so. The review and decision to repair an item must be based on several parameters; preventive and corrective maintenance support outlines, product availability, ERQ, operational requirements and sound economic principles. The initial determinations and level to repair a reparable candidate are normally determined before or during the initial provisioning process. However, as some items progress through their life cycle, they may meet the reparable criteria as they become obsolete and replacement is no longer available or cost effective. ICP's reparable programs address only Depot Level Repairs (DLRs) done under their cognizance.

**B. Reparables Program Directives.**

1. Depot Maintenance Inter-service Agreements, OPNAVINST 4790.14
2. Supply Policy and Procedures Manual, COMDTINST M4400.19(series)

**C. Policy.**

1. ICPs shall develop and maintain an effective DLR program with well-documented procedures. Every Coast Guard unique reparable item of support shall be considered a reparable program candidate. Technically review all reparable items at time of procurement and sample 50 long supply items at least once a year. Update the DLR program and record the date reviewed on the IM record or retain documentation showing date reviewed in item folder.
2. The candidate review process shall consider the maintenance support outline; resource requirements, material availability, production lead and/or repair turn around time, ERQ and the customers' operational readiness requirements before entering a candidate into the reparable program. Documentation to support the technical review process shall be maintained as long as the ICP manages the item.
3. The results of the reparable support determinations review shall be maintained in the Inventory Control Points automated systems from the initial reparable support determination until the item is deleted from the ICPs automated system when categorized as obsolete and disposed, or item management is transferred to another agency.
4. ICPs may enter into rotatable pool agreements with maintenance/support managers as necessary to improve supply support and reduce costs.

- a. Item of supply candidates for rotatable pool management must meet all of the following criteria:
  - (1) Managed as a Mandatory Turn-in Repairable (MTR) item of supply,
  - (2) Have a average annual demand rate that it is more efficient to fill using a rotatable pool and system stock inventory than just system stock inventory alone,
  - (3) Be an item of supply which has several cycles of useful life, and
  - (4) Meet any other additional criteria unique to the rotatable pool candidate or the platform it supports.
- b. The rotatable pool custodian is responsible for repairs when the supply item is in rotatable pool status.
- c. Rotatable pool visibility and machinery history shall be maintained by the ICP.

**CHAPTER 12 - SUPPLY SUPPORT REVIEW PROGRAM**

- A. Overview. Often, after a platform is fielded, the operational mission and/or maintenance requirements change and the initial supply support projections no longer meet program requirements. Also, as a platform ages and enters different life cycle phases, supply support requirements change. For these reasons and others, supply support must be reviewed at regular intervals.
- B. Supply Support Review Program Directives.
  - 1. Long Range Planning of Logistics Support for Operational U.S. Coast Guard Cutters, COMDTINST 4105.4
  - 2. Coast Guard Standardization Program, COMDTINST 4200.38 (series)
- C. Policy.
  - 1. ICPs shall maintain a supply support review program for each platform under their cognizance. Supply support reviews shall ensure that adequate supply support is in place or initiate a reprovisioning action. This is designed to provide adequate supply support during the sustainment life cycle.
  - 2. The supply support review program shall be the basis for documenting funding and other resource adjustments required to sustain adequate platform supply support.
  - 3. Supply support reviews shall be conducted at scheduled intervals per ICP directives.



## CHAPTER 13 - WAREHOUSE MANAGEMENT

- A. Overview. Warehouse management encompasses both care of material and physical asset accountable aspects of OM&S and inventory, both of which directly affect operational readiness. There are many functions and interrelationships required to ensure proper warehouse management, such as:
1. Accountability. The warehouse is responsible for physical accountability of material from the time the material is received at the warehouse to the time the material is issued to a user, disposed of, etc.
  2. Physical Inventory. The physical inventory process includes physical count, stock rotation and location surveys. The process also provides an effective and efficient accounting of day-to-day decisions that affect inventory levels, receiving, Quality Assurance (QA), stocking, handling, distribution, repairs and disposal (see Chapter 16, Physical Inventory, of this manual).
  3. Quality Assurance. QA is built into all warehousing and supply management functions (see Chapter 14, Quality Assurance (QA), of this manual).
  4. Security. Much of the material received, stored, issued and shipped creates an environment in which possible pilferage/loss is a constant concern. For these reasons and to ensure mission accomplishment, comprehensive security measures are required for the protection of items of supply. Measures, such as locking devices, intrusion detection devices, protective lighting, access control and personnel training, are required to sustain an effective security management program.
  5. Hazardous Material (HAZMAT). HAZMATs are materials, which by virtue of their inherent characteristics require additional control to ensure adequate safety to life and property. They are identified at the time of procurement and packaged, packed, marked and stored to provide the proper degree of protection. The handling and transporting of hazardous materials are outlined in COMDTINST M4610.5.
  6. Packing and Preservation. Items of supply require protection from deterioration and damage during storage, shipment and handling. The packing and preservation process provides the proper degree of protection required at the minimum cost.

7. Traffic/Shipping. The traffic/shipping process is the preparation, packing, marking and shipping of CG items of supply in such a way that the safe delivery to the customer is assured.

**B. Warehouse Management Directives.**

1. Storage and Materials Handling, DOD Regulation 4145.19-R-1
2. Shelf-Life Management Manual, DOD 4140.27-M
3. Industrial Security Manual for Safeguarding Classified Information, DOD Manual 5220.22-M
4. Information Security Program Regulations, DOD Regulation 5200.1-R
5. Industrial Security Regulations, DOD Regulation 5220.22-R
6. Code of Federal Regulation (CFR), Chapters 29 and 49
7. Preparing Hazardous Materials for Military Shipment, NAVSUP PUB 505/MCO P4030.19/DLAM 4145.3
8. Inspection, Packaging, Handling, Storage and Transportation Handbook, COMDTINST M4450.1 (series)
9. Transportation of Freight, COMDTINST M4610.5
10. Transportation Acquisition Regulations (TAR)
11. MILSTRIP Manual, DOD 4000.25-2-M

**C. Policy.**

1. The ICPs shall establish and maintain inventory records, financial and physical safeguards over warehoused material within their cognizance of operation.
2. Items of supply in storage shall be maintained in ready-for-issue condition to minimize the need for inspection, testing and represervation at the time of shipment and to maintain readiness at an optimum level.
3. Items of supply shall be preserved, packed and marked as required prior to placement into storage and stored in an appropriate storage facility and environment.



4. Packaging and preservation inspections shall be conducted at regularly scheduled intervals as required. Material found to be deteriorated or in need of represervation shall be restored to ready-for-issue condition as required.
5. Items of supply requiring periodic functional and/or shelf life testing shall be inspected as required, then repackaged and preserved to a ready-for-issue condition.
6. Physical inventories of OM&S and inventory shall be conducted to ensure accuracy of items of supply. The policies, procedures and reporting requirements for physical inventory contained in Chapter 16 shall be followed.
7. Hazardous materials shall be procured, marked, handled, stored, shipped and disposed of per applicable directives and regulations. ICPs shall procure and stock only the minimum quantities of hazardous materials necessary to satisfy their customer's operational requirements.
8. ICPs shall develop and manage a traffic/shipping and receiving program that:
  - a. Receives materials, performs inspections per the contractual requirements and inspects for obvious shipping damage (see Chapter 14, Quality Assurance (QA), of this manual),
  - b. Provides transportation sources. Schedules, routes, tracks and expedites shipments, including priority and local pickup and delivery, and
  - c. Ensures that packing as well as the shipping containers protect their contents during shipment so that materials are delivered to the customer without damage.



**CHAPTER 14 - QUALITY ASSURANCE (QA)**

- A. Overview. The QA process ensures that the CG solicits and awards contracts for the correct products and services, and the products offered comply with the contractual requirements. The program provides methods of verifying all phases of the contractor's manufacturing processes; inspections, certified testing, personnel qualifications and documentation. The QA process also ensures that the products are packaged, delivered and properly warehoused. (See Chapter 13, paragraph C of this manual.) To accomplish its tasks, the QA process must interact with various other processes, mostly procurement and warehousing/supply management.
- B. Quality Assurance Directives.
1. Federal Acquisition Regulations (FAR)
  2. Specification Development Manual, COMDTINST M4121.3
  3. Comptroller Manual Vol. X, Quality Assurance, COMDTINST M4855.1
  4. Defense In-Plant Quality Assurance Program, DSAH 8200.1
  5. SCCB Contract Quality Assurance, CHQASINST 4855.2 (series) (NOTAL)
- C. Policy
1. ICPs shall ensure that QA is appropriately addressed when soliciting for products and services. This may include:
    - a. Ensuring that applicable QA standards are included in all contractual agreements,
    - b. Reviewing Statements of Work,
    - c. Performing pre-award and post-award contract/contractor surveys,
    - d. Conducting Contractor Initial Contact (CIC) quality audits, and
    - e. Reviewing contractor's procedures to ensure they conform to the contractual requirements.
  2. ICPs shall perform QA inspections as required by the contract. The inspections may be at point of origin and/or the receiving location. This may include:

COMDTINST M4121.4

- a. Conducting various material inspections, such as first article inspection and/or performing/witnessing performance tests, to insure the product or services conforms to contract requirements,
  - b. Ensuring packaging and packing conforms to contract requirements and that no obvious shipping damage has occurred, and
  - c. Ensuring that all contractually required identification markings and documentation accompany the deliverable (this is a critical element of the aviation QA process).
3. ICPs shall conduct and/or assist OGAs as necessary in various QA investigations to ensure that the U.S. Government receives the products and services contracted for. Areas of consideration shall include but not be limited to: Operational critical parts, bogus parts, substandard material, use of correct specifications and markings.
4. ICPs shall ensure warehouse QA programs are installed to ensure the products and services delivered meet the customers requirements.
5. The QA process shall investigate customer complaints and deficiency reports, identify the reason for the complaint report and forward to the appropriate activity for corrective action. Also, conduct follow-up surveys to ensure that corrective action was taken and the deficiency corrected.

## CHAPTER 15. MEASUREMENT AND REPORTING REQUIREMENTS

A. **Overview.** Measurement is the process that allows an organization to determine if its processes are performing as intended. Measuring customer satisfaction and on time delivery of products and services support readiness to CG field units. As a Federal Agency we need to be an effective steward of the tax dollars we receive and we need to make fact-based decisions. Most of the factual information we need can only be gathered by measurement or metrics. The feedback we receive from measurements, or metrics, are used to improve our supply chain processes that support CG customers.

B. **Measurement and Reporting Requirements Directives.**

1. Government Performance and Results Act (GPRA), Public Law 103-62.
2. Coast Guard Logistics Doctrine, COMDTINST 4000.5 (series).
3. Coast Guard Measurement Strategy and Responsibilities, COMDTINST 5224.9 (series).

C. **Policy.**

1. ICPs shall develop and maintain a process for measuring and monitoring performance of ICP internal functions in accordance with above directives under paragraph B.
2. ICPs shall develop and provide to the ICPs program office (G-SEA or G-SEN) the Quarterly Inventory Control Effectiveness (ICE) report. Instructions for filling out the ICE Report are listed on the following pages.
3. As requested, status on supply operations shall be forwarded to Commandant (G-SEA) or (G-SEN) within 15 days of receiving the request.
4. ICPs shall fully document and support their collection methodology for figures reported on the ICE Report.

## INVENTORY CONTROL EFFECTIVENESS (ICE) REPORT

- A. **Category.** There are two major categories identified on the ICE report, Operational Metrics and Inventory Metrics. A performance goal has been established for most metric sub-categories. These goals are the acceptance levels for the ICPs.
- B. **ICE Report Form CG-5644 (2/05) (RCN-4121-1) Preparation Instructions.** The following report heading/column instructions are provided for preparing the ICE Report.
1. **Unit Name.** Enter the name of the ICP reporting activity in the upper right side of report.
  2. **Period.** Enter the applicable fiscal quarter and fiscal year (example: 1st QTR FY03). Data entered in the below sub-columns reflect only activity occurring during the applicable quarter.
- C. **Operational Metrics.** The following metrics are established to measure and assess the ICPs functional performance of inventory that affects customer support, asset management and readiness within a specific fiscal quarter.
1. **Issue Effectiveness** (Customer Requisitions): This metric calculates the percentage of requisitions accepted by the ICP and issues made by the ICP from ICP stock.
    - a. Number of Requisitions. Enter the total number of requisitions accepted at the ICP.
    - b. Number of Issues from Stock (Point of Entry (POE)). Enter the total number of customer issues.
    - c. Issue Effectiveness Rate. To determine the percentage, divide the total number of issues by the total number of requisitions, multiply by 100,  $(((1.b./1.a.) \times 100))$ . The performance goal for the issue effectiveness rate is  $\geq 90\%$ .
  2. **Issue Denials** (All Requisition Types): This metric calculates, as a percentage, the materiel release orders directed for shipment that was not shipped by the warehouse or distribution activity.
    - a. Number of Issues. Enter the total number of issues. This includes all issues made within your system, i.e., customer issues, issues to disposal, issues to repair, special issues, etc.
    - b. Number of Denials. Enter the total number of warehouse denials.
    - c. Denial Rate (%). To determine the percentage, divide the total number of denials by the total number of issues, multiply by 100,  $(((2.b./2.a.) \times 100))$ . The performance goal for the denial rate is  $\leq 1\%$ .

3. Receipt Processing (Inventory receipts processed within 10 days). This metric calculates, as a percentage, the ICPs on time receipt processing performance, measured from the time material is received at the door until the on-hand balance has been adjusted to reflect as on-hand assets available for issue.
  - a. Number of Receipts processed (door, accept, receipt). Enter the total number of inventory receipts processed from door date to receipt date.
  - b. Number Processed On Time. Enter the total number of inventory receipts processed within 10 days from door date to asset available date.
  - c. On Time Receipt Rate (%). Compute this figure by dividing the total number of inventory receipts processed on time by the total number of inventory receipts processed, multiply by 100,  $[(3.b./3.a.) \times 100]$ . The performance goal for the on time inventory receipt rate is  $\geq 90\%$ .
4. Frustrated Receipts. This metric calculates the average number of days frustrated receipts are resolved.
  - a. Number of Frustrated Receipts. Enter the number of pending frustrated receipts. Frustrated receipts are defined as inventory receipts that cannot be readily identified to a due in.
  - b. Average age of Frustrated Receipts (Days). Total number of days required to resolve frustrated receipts within the time period. Add the total number of days from frustration to resolution for each inventory receipt resolved and divide by the number of inventory receipts resolved.
5. Depot Level Mandatory Turn Ins (MTIs). MTIs are reparable inventory line items to be returned to the ICPs from customers. This metric identifies the percentage of current MTIs due-ins (less than 75 days old).
  - a. Number of Due-Ins. Enter total number of MTIs due-in.
  - b. Number of current Due-Ins (75 days or less). Enter the total number of MTI due-ins that are less than or equal to 75 days old.
  - c. Percentage of Current Outstanding Due-Ins - Compute this figure by dividing the number of your current MTI due-ins by the total number of outstanding MTI due-ins, multiply by 100,  $[(5.a./5.b.) \times 100]$ . The performance goal for MTIs returned in 75 days or less is  $\geq 90\%$ .
6. Storage Location Accuracy (NSN/location). Location survey requires a physical verification, other than actual count, between physical assets and recorded location data to ensure that all assets are properly recorded. This metric calculates the actual location

accuracy rate for individual NSNs for use in assessing the performance of the storage location accuracy against the performance goal.

- a. Number of NSNs/locations checked. Enter the total number of locations/NSNs checked.
  - b. Number of NSNs/locations without errors: Enter the number of storage NSNs/locations that did not have any discrepancies.
  - c. Location Accuracy Rate (%): Compute this figure by dividing the number of locations without errors by the number of locations checked, multiply by 100,  $[(6.b/6.a) \times 100]$ . The performance goal for NSN/location accuracy is  $\geq 97\%$ .
7. Valuation Accuracy (Moving Weighted Average). The weighted average is used for valuing inventory items. This metric is designed to ensure that the weighted average algorithm is correctly valuing the ICP's inventory.
- a. Number of items checked. Enter the total number of receipts checked for valuation accuracy.
  - b. Number of items without errors. Enter the number of receipts without valuation errors.
  - c. Valuation Accuracy Rate (%). To determine your accuracy rate, divide the number of receipts without errors by the total number of receipts and multiply by 100  $[(7.b/7.a) \times 100]$ . The performance goal for the valuation accuracy rate is  $\geq 99\%$ .

**D. Inventory Metrics.**

1. Inventory Composition. (period end). Purpose: This metric is used in reporting on financial statements the amount of item and the values of inventory.
  - a. Total line items. Enter the total inventory line items as of the end of this quarter.
  - b. Total value of inventory. Enter the total value of inventory as of the end of this quarter. This is the total quantity multiplied by the unit price.
2. Inventory Disposals. This metric identifies the value of inventory categorized and issued to disposal as excess, obsolete, or unserviceable.
  - a. Value of excess items issued to disposal. Enter the extended total dollar value of excess items issued to disposal. This is inventory that you are disposing of that is in excess to the ICPs needs.



- b. Value of obsolete items issued to disposal. Enter the extended total dollar value of obsolete items issued to disposal. This is inventory that the ICPs are disposing of that is determined to be no longer in use, or no longer required.
  - c. Value of unserviceable items issued to disposal. Enter the extended total dollar value of unserviceable items issued to disposal. This would be your scrap inventory.
3. CFO Statistical Sample Inventories. Purpose: This metric calculates the inventory accuracy as required by the CFO Act.
- a. Value of Universe. Enter the total extended dollar value of inventory which is the on hand quantity multiplied by the unit price of the universe included in the statistical sample. This value also will include the total extended dollar value of managed due-ins.
  - b. Number of Items in Universe. Enter the total number of inventory line items in statistical sample universe. This number should also include the number of managed due-ins.
  - c. Value of Sample. Enter the total extended dollar value of inventory items sampled for the statistical sample.
  - d. Number of items in Sample. Enter the total number of inventory items sampled.
  - e. Number of adjustments posted. Add the number of inventory gain and inventory loss adjustments together to determine the total number of statistical sample inventory adjustments posted.
  - f. Value of adjustments posted. Add gross value of inventory adjustment gains and inventory adjustment losses together to determine the total value of adjustments posted for the statistical sample inventory.
  - g. CFO results (pass/fail). Indicate a pass/fail based on projected errors against 95% confidence interval.

Any exclusions and/or inclusions to the above data results shall be kept on file by the ICPs.

INVENTORY CONTROL  
EFFECTIVENESS REPORT

CATEGORY	Total	Goal
<b>OPERATIONAL METRICS:</b>		
1. Issue Effectiveness (Customer Requisitions)		
a) Number of Requisitions		
b) Number of Issues from Stock (Point of Entry (POE))		
c) Issue Effectiveness Rate (%)		=/> 90%
2. Issue Denials (All Requisition Types)		
a) Number of Issues		
b) Number of Denials		
c) Denial Rate (%)		=/< 1%
3. Receipt Processing (Inv receipts within 10 days)		
a) Number of Receipts Processed (Door, Accept ,Receipt)		
b) Number Processed on Time		
c) On Time Receipt Rate (%)		=/> 90%
4. Frustrated Receipts		
a) Number of Frustrated Receipts		
b) Number of Frustrated Receipts > 45 Days		
c) Average age of Frustrated Receipts (Days)		
5. Depot Level Turn In's (MTI)		
a) Number of Due In's		
b) Number of Current Due In's (75 days or less)		
c) % of Current Outstanding Due-Ins		=/>90%
6. Storage Location Accuracy (Based on NSN's)		
a) Number of NSNs checked		
b) Number of NSNs without errors		
c) Location Accuracy Rate (%)		=/> 97%
7. Valuation Accuracy		
a) Number of Items checked		
b) Number of Items without errors		
c) Valuation Accuracy Rate (%)		=/> 99%
<b>INVENTORY METRICS:</b>		
8. Inventory Composition (Period End)		
a) Total Line Items		
b) Total Value of Inventory		
9. Inventory Disposals		
a) Value of excess issued to disposal		
b) Value of obsolete issued to disposal		
c) Value of unserviceable issued to disposal		
10. CFO Statistical Sample Inventories		
a) Value of Universe		
b) Number of items in Universe		
c) Value of Sample		
d) Number of items in Sample		
e) Number of adjustments posted		
f) Value of adjustments posted		
g) CFO results (Pass/Fail)		Pass/Fail

## **CHAPTER 16 - PHYSICAL INVENTORY POLICY AND PROCEDURES**

### **A. Overview.**

1. The physical inventory control program addresses the policy, procedures, accountability and responsibilities the United States Coast Guard (USCG) Engineering Logistics Center (ELC) and the Aircraft Repair and Supply Center (AR&SC) have for maintaining:
  - a. Consumable Spares - Operating Materials and Supplies (OM&S),
  - b. Reparable Spares - Plant, Property and Equipment (PP&E),
  - c. Inventory (Supply Fund and YARD Fund).
2. Unless otherwise specified, any reference to “inventory” in this chapter includes OM&S, PPE, and inventory.
3. The Inventory Control Points (ICPs) are responsible for material received and stored in each of their respective warehouse facilities, material on the Aviation Logistics Information System (ALMIS), and Naval and Electronics Supply Support System (NESSS). This includes care, custody, receipt, storage, issue, disposal, location survey, location reconciliation, internal controls checks, research and resolution, supply discrepancy report initiation, safety material on ALMIS and NESSS, and investigating and assessing financial liability for loss, damage, and destruction of government wholesale and retail inventory.
4. The basic physical inventory elements include:
  - a. conducting physical existence and completeness inventories,
  - b. performing surveys/audits/reconciliations of the inventory locations,
  - c. researching inventory discrepancies and causes for adjustments, and
  - d. reconciling accountability and financial record variances (e.g., physical counts).
5. Reporting procedures will be established to monitor performance measures on the effectiveness of the physical inventory control.
6. The USCG Physical Inventory Control Program complies with:
  - a. The Government Management and Reform Act (GMRA), Public Law 103-356 dated Oct 94,
  - b. The Government Performance and Results Act (GPRA), Public Law 103-62 dated Aug 93,
  - c. The Statement of Federal Financial Accounting Standards (SFFAS) #3, “Accounting for Inventory and Related Property”,

- d. The Statement of Federal Financial Accounting Standards (SFFAS) #6, “Accounting for Plant, Property and Equipment”, and
- e. The Federal Financial Management System Requirements (FFMSR-7) Inventory Systems dated Jun 95 (includes the Chief Financial Officer (CFO) Act of 1990, and the Office of Management and Budget (OMB) Circulars A-123 and A-127).
- f. Federal Financial Management Improvement Act (FFMIA) of 1996.

**B. Physical Inventory Directives.**

- 1. MILSTRAP Manual, DOD 4000.25-2-M
- 2. MILSTRIP Manual, DOD 4000.25-1-M
- 3. Code of Federal Regulation, 41 CFR Chapter 101
- 4. Storage and Materials Handling, DOD 4145.19-R-1
- 5. Shelf-Life Management Manual, DOD 4140.27-M
- 6. Property Management Manual, COMDTINST M4500.5 (series)
- 7. Physical Security Program, COMDTINST M5530.1 (series)

**C. Policy.**

- 1. At a minimum, ICPs shall execute a statistical sample physical inventory every fiscal quarter using a confidence level of 95% and precision level at 5%. The statistical sample software shall determine the number of items (sample size) to count.
- 2. At a minimum, ICPs shall execute a random completeness test (floor to record) on 30 locations every fiscal quarter.
  - a. Ensure that the NIINs and their associated locations selected for the existence test are excluded from the location universe before selecting locations for the completeness test.
  - b. The completeness test can be determined by:
    - (1) Placing all locations for items in a file in location descending order. All 30 locations can be randomly selected using the random number generator at [www.randomizer.org/form.htm](http://www.randomizer.org/form.htm), or
    - (2) Randomly selecting the first location using the random number generator at [www.randomizer.org/form.htm](http://www.randomizer.org/form.htm). Dividing 30 into the total number of locations to determine the remaining locations to be selected thereafter shall obtain each location (example: If the file contains 57,000 locations, select

every 1900<sup>th</sup> location after the random location is selected). If multiple items exist in a particular location, select the stock item with the highest numeric NIIN. *Note:* If multiple locations exist for the randomly selected NIIN (item), count all locations. If the selected item has also been identified for existence testing, select the next available NIIN within the stock location (NIIN descending order). If there are no available NIINs to select, go to the next location (NIIN descending order), and randomly select the next NIIN (NIIN descending order). Compare counts to stock record to determine accuracy.

3. All controlled, sensitive and pilferable items shall be inventoried annually.
4. All material stored at naval and electronic remote stock points shall be inventoried annually.
5. The ICPs shall follow the physical inventory procedures and reporting requirements prescribed below for conducting a physical inventory, reconciling, and recording. Results shall be reported in accordance with Chapter 15.
6. A random statistical sampling of locations shall be accomplished at the ICPs at least three times each fiscal year. Two of the three samples shall be conducted in the 3<sup>rd</sup> and 4<sup>th</sup> quarter. Results shall be reported in accordance with Chapter 15. Errors shall be researched and reconciled. Only one error per surveyed location is to be reported.
  - a. Location surveys (NSN/location) shall be conducted in both the gaining and losing storage areas following the accomplishment of re-warehousing projects.
  - b. To measure the accuracy of the results of the location surveys, errors shall be counted as one error per stock number location.
7. Inventories for items not designated for complete inventory may be accomplished as a result of:
  - a. Total or partial materiel release denials,
  - b. Location errors,
  - c. Owner/manager request (special inventory); or
  - d. Selection based on physical inventory prioritization system that considers characteristics such as recorded inventory quantity and dollar value; demand quantity, value, and frequency; proximity of anticipated replenishment action; forecast replenishment quantity and value; and period of time since last inventory.
8. ICPs shall reconcile ALMIS or NESSS physical inventory records to financial amounts. A General Ledger Trial Balance, documentation for physical inventories

and a complete stock file population (consumables and reparable) shall be kept in an “audit ready” status and on file for a minimum of 3 years from the date the inventory was completed and in accordance with National Archives requirements at each ICP. ICPs shall ensure that the physical inventory records population balances with the General Ledger Trial Balance are within an acceptable tolerance. The ICPs shall limit the incidence of inconsistent logistics and financial balances. If out-of-balance conditions occur, provisions must be made for the financial system records to be reconciled.

9. Auditors shall schedule with ICPs for observation/testing of physical inventories.
10. Preliminary physical inventory results shall be reported within five (5) business days after completion of post blind counts to the HQ program office [(G-SEA) or (G-SEN)]. The program office shall review and reply back electronically to the ICP within five (5) business days on the preliminary results and compliance with policy.
11. Physical inventories shall be completed within 30 days from start of the physical inventory, unless a written extension has been granted by Commandant (G-SLP). The ICP Commanding Officer shall sign and certify the final results of the physical inventory and forward to their Program Office within 30 days of start of inventory.
12. The HQ program office shall review the final physical inventory results and reply back electronically within 15 days to the ICPs.
13. Physical inventory results shall be reported on the Inventory Control Effectiveness (ICE) report (Chapter 15) to Commandant (G-SEN) or Commandant (G-SEA) within 30 days of end of fiscal quarter. G-SEN and G-SEA shall forward a copy of the ICE with results of their review to G-SLP.
14. If any of the minimum physical inventory performance goals are not met, the ICP will notify Commandant (G-SEN) or (G-SEA), within 45 days of sample count and identify the ICP’s plans for what corrective action will be taken. The corrective action plan shall include root cause analysis and anticipated date of completion of corrective measures.
15. ICPs shall maintain documentation to support valuation of inventory.
16. Commandant (G-SEA and G-SEN) shall observe physical inventory processes and counts at ARSC and ELC at least once a year to ensure conformance to policy and procedures.
17. Commandant (G-SLP) shall observe physical inventory processes and counts at ARSC and ELC at least once a year to ensure conformance to policy and procedures.

#### **D. Physical Inventory Procedures**

1. Schedule of physical inventories. The ICPs shall:
  - a. Provide Commandant (G-SEN), (G-SEA), (G-SLP) and (CG-842) the inventory schedule for the upcoming fiscal year by 30 September.
  - b. Notify Commandant (G-SEN), (G-SEA), (G-SLP) and (CG-842) of any changes to the inventory schedule as soon as they are known.
2. Inventory phases. Inventories conducted by the ICPs shall include at a minimum the following phases: preparation, freeze, count, required research adjustment and reporting.
3. Inventory Preparation. Conducting, at a minimum, the following pre-inventory procedures will reduce the potential for count inaccuracies:
  - a. Perform transaction clean-up,
  - b. Control material movement (floor to record sampling, location checks),
  - c. Monitor shipping activity,
  - d. Address and account for controls of pre-counted material, (i.e., documentation placed on sealed box will include NSN, condition, 2 signatures and date),
  - e. Reconcile inventory records to general ledgers,
  - f. Prepare queries, and
  - g. Assign Responsibility.
4. Freeze. When conducting physical inventory counts in ALMIS or NESSS the inventory records will be locked down or the inventory item frozen until the counts have been completed.
5. Count. The ICPs shall ensure the following:
  - a. Count sheets for the 1<sup>st</sup> and 2<sup>nd</sup> counts do not contain the quantity or total dollar value.
  - b. A minimum of two (2) persons shall be on the count team.
  - c. Count sheets shall be signed and dated by all count team members.
  - d. The touch method shall be used to count inventory.
  - e. Criteria for determining items that shall be exposed to weighed and measure testing shall be determined by the ICPs. This method can be used for multi-pack items (e.g., bolts, nuts, etc.) or bulk Items (e.g., cable, wire, pipe, etc.). The count method for these items shall be determined from weighing or measuring. The recorder shall compare the weighted or measured count to the on hand balance. If the variance is within (+/-) 5% of the on hand quantity, the count quantity shall be recorded as the on-hand quantity.

- f. Factory sealed boxes shall not be opened. The count on the outside of the box shall be accepted.
  - g. Pre-sealed items shall not be opened under the following conditions. These boxes shall be sealed with the documentation on the outside of the box. Documentation shall consist of the date, counters names (minimum of two), condition and quantity counted. If pre-sealed boxes do not contain this information at time of count, they must be opened and counted.
  - h. Minimum requirement of one (1) count. If the 1<sup>st</sup> count matches record, no other counts are required. If 1<sup>st</sup> count does not match record, a 2<sup>nd</sup> count shall be conducted. The 2<sup>nd</sup> count team shall consist of (at a minimum) two personnel, one of which was not on the 1<sup>st</sup> count team. If 2<sup>nd</sup> count is still in error, the count shall be recorded and the causative research shall begin.
  - i. Separation of duties shall exist for count and recording personnel.
6. Required Research. If the first count quantity of the existence “Record-to-floor test” matches the stock record quantity, then no other research is required. The physical inventory count of the item is considered correct. If a variance exists, then the following minimum research applies in accordance with Minimum Research Requirements for Potential or Actual Physical Inventory Adjustments listed in Figure 1 and the following paragraphs.
- a. Post Count Validation. Conduct a second physical count if a variance still exists. The post count sheet will not contain the record quantity or total dollar value. If the post count quantity matches the Inventory Management (IM) stock record quantity, then no other research is required. The physical count is considered correct.
  - b. If the post count quantity does not match the IM stock record quantity, post to IM stock record any outstanding material receipts and issues pending in the system queue. If a receipt or issue pending in the system queue corrects the imbalance between the IM record and physical count then the physical inventory count of the item is considered correct. No other research is required. However, if a variance still exists after posting all outstanding material receipts and issues from the system queue, do the causative research.
  - c. Pre-Adjustment Research. Conduct a third physical count. The third count sheet may list the quantity and dollar value. If the material is found, no other research is required and the count is correct. If the material is not found, continue research in accordance with the minimum research requirements listed in Figure 1.
  - d. Causative Research. Review inventory history files, un-posted receipts, pending shipments, in-transit and frustrated material, and temporary and special project locations for missing items. Post inventory transactions (e.g., from receipts or issues) discovered during the research process that were previously incorrectly or not properly posted, contributing to the record imbalance. Likewise post any



previous inventory adjustments that were found missing to correct the record imbalance. If posting these transactions will correct the variance then no other research is required. If the variance still exists after review and/or research, post an inventory adjustment transaction. Record the adjustment on the ICE report under Number of Adjustments Posted.

Note: A reduction of the volume of inventory adjustments can only be achieved by conducting specified degrees of research before posting the adjustment transaction. However, in no case shall adjustments be processed against items without pre-adjustment research having been performed in accordance with Figure 1.

**Figure 1: Minimum Research Requirements for Potential or Actual Physical Inventory Adjustments**

Condition of Variance	Required Research		
	Post Count Validation	Pre-adjustment Research	Causative Research
Total dollar value			
<\$500	NO	NO	NO
≥\$500 but <\$5000	YES	YES	NO
≥\$5000	YES	YES	YES
Suspected Fraud, Waste or Abuse	YES	YES	YES

Causative research shall be conducted on all adjustments (gains and losses) of classified and sensitive items, regardless of the dollar value of the item or extended dollar value of adjustment. Causative research shall be conducted on all adjustments (gains and losses) of pilferable items with an extended dollar value > \$100.

7. Adjustment. All inventory adjustments are the responsibility of the ELC and AR&SC Commanding Officer. However, the following approval authority is required

Dollar Value Adjustments per line item of OE materiel		Approval Authority
<i>From</i>	<i>To</i>	<i>Gains/Losses</i>
\$0	\$499,999	Commanding Officer or designate
\$500,000	\$999,999	Commandant (G-SEN), Commandant (G-SEA)
\$1,000,000	OVER	Commandant (G-Sd)

Figure 2

**Note:**

- (1) All losses of controlled inventory items must be reviewed by the commanding officer or their designated representative. Supply fund inventory is not included in figure 2.
  - (2) Adjustments/gains/losses for high quantity/low dollar value items (i.e., count > 100 and unit price < \$50) shall not be researched or taken if the extended dollar value of the item is within 5% of the book extended dollar value. The book value shall be assumed correct.
8. Reporting. Preliminary Results: Within five (5) business days after completion of post counts, the ICP shall report electronically the preliminary results of both completeness and existence testing including variances after the post count to their HQ program office. Preliminary results of both existence and completeness tests shall include: Total line items (universe), total dollar value (universe), number of locations counted, total dollar value of items in locations counted, number of stock number items with variances after the post count, dollar value of the stock number items with variances after the post count, preliminary accuracy for both the stock number and the dollar value variances based on post count.
- a. Final Results: The ICP Commanding Officer shall certify and sign the final results of the completeness and existence testing, and complete the documentation.
  - b. Report to program office (G-SEA or G-SEN) the final results after adjustments are posted (both existence and completeness tests) with a summary of errors attached. Results are to include total line items (universe), total dollar value (universe), number of locations counted, total dollar value of items in locations counted, number of items with variances, net dollar value of items with errors, final dollar value accuracy (percentage) including errors.
  - c. If the inventory results are not within the 95% confidence interval, the ICP will conduct causative research of all variances and forward the following documentation associated with the discrepancies to program office (G-SEA or G-SEN). The program office shall forward a copy of the final physical inventory report with results of their review to G-SLP. In addition, they will perform root cause analysis to identify human, procedural or system errors, which adversely affect inventory accuracy and their recommended actions to improve inventory accuracy.
  - d. A copy of Reconciliation worksheets and support documentation (includes screen shots, emails, receipts, issue documentation, history file back to last spot count or physical count, gain/loss doc, etc.) will be submitted to G-SEA or G-SEN for review.

9. Documentation Standards. The following documentation for statistical samples shall be forwarded to the HQ program office and be kept for three (3) years plus the current year. The documentation shall include the following:

- a. Copy of general ledger trial balance summary sheet or system query before snapping a sample count (printed at the time the statistical sample population is extracted).
- b. Comparison of universe to trial balance summary and reconciliation of differences (universe should match general ledgers within an acceptable tolerance).
- c. Data file containing exclusions (e.g., frozen assets).
- d. Copy of ICP Stat Sample procedures/checklist if changed from previous quarter (signed and dated).
- e. Confidence limits of Stratified Random Sample for the Variables Summary using Expected Values.
- f. Strata Boundaries and Size (if not viewed by representative from the program office or logistics policy office).
- g. Observed sample with mean and standard deviation calculation on the observed listing.
- h. Copy of observed variances sheet dated and signed with NIIN, record quantity, quantity in location(s), nomenclature, unit price and total dollar value after post count.
- i. Stat sample consolidated list with NIIN, location, nomenclature and unit price. Copy of stat sample count sheets, dated and signed by all team counters with NIIN, quantity, location, nomenclature and unit price.
- j. If requested, causative research (copy of adjustments, screen prints and reports, transaction analysis worksheets (signed and dated)).
- k. Confidence limits on Stratified Random Sample for Variables Summary with Adjustments.
- l. Surveys, if required w/approved signature and date.

E. **HQ Program Review.** Upon receiving the preliminary physical inventory report, the program office (G-SEA or G-SEN) shall review and reply back electronically within 5 days to the ICP the results of their review. Commandant (G-SEN or G-SEA) shall forward a copy of the preliminary physical inventory report with results of their review to Commandant (G-SLP). Upon receiving the final physical inventory report, the program office Commandant (G-SEA or G-SEN) shall review and reply back electronically within 15 days to the ICPs the results of their review. Commandant (G-SEA or G-SEN) shall forward a copy of the final physical inventory report with results of their review to Commandant (G-SLP).

Encl. (1) to COMDTINST M4121.4

**INQUIRY FORM**

To: Commandant (G-SLP)

Subj: \_\_\_\_\_  
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(Signature)

Telephone Number(\_\_\_\_)\_\_\_\_

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Commandant (G-SLP)  
U.S. Coast Guard  
2100 Second Street SW  
Washington, DC 20593



**ACRONYMS**

ACCB	Aircraft Configuration Control Board
AC&I	Acquisition, Construction and Improvements
ACR	Allowance Change Request
AICP	Aviation Inventory Control Point
ALMIS	Aviation Logistics Management Information System
AMC	Acquisition Turn-in Code
AMCL	Approved Mil Change Letter
AMMIS	Aviation Maintenance Management Information System
AMSC	Acquisition Method Suffix Code
APA	Appropriation Purchase Account
ARMS	Automatic Requisitioning Management System
ARSC	Aircraft Repair and Supply Center
ARTIC	Abolish Red Tape in Contracting
ASPM	Afloat Supply Procedures Manual
BOSS	Boat Outfit and System Support
CAGE	Commercial and Government Entity
CALMS	Combined Allowance for Logistics, Maintenance and Support
CCB	Configuration Control Board
CCR	Configuration Change Request/Report
CDM	Configuration Data Manager
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CG	Coast Guard
CGAP	Coast Guard Acquisition Procedures
CI	Configuration Item
CIC	Contractor Initial Contact
CIS	Contract Information System
CM	Configuration Management
COSAL	Consolidated Shipboard Allowance List
DAAS	Defense Automatic Addressing System
DAASC	Defense Automatic Addressing System Center
DAASO	Defense Automatic Addressing System Office
DAMES	Defense Automated Message Entry System
DFARS	Defense Federal Acquisition Regulation Supplement
DIIS	Defense Inactive Item Program
DLA	Defense Logistics Agency
DLMS	Defense Logistics Management System
DLR	Depot Level Repair
DLSC	Defense Logistics Services Center
DMS	Diminishing Manufacturers Source
DOD	Department of Defense
DOT	Department of Transportation
DRMO	Defense Reutilization and Marketing Office
ECONOP	Engineering Logistics Concept of Operation
ELC	Engineering Logistics Center
EOQ	Economic Order Quantity
ERPAL	Electronics Repair Parts Allowance List
ERQ	Economic Repair Quantity
FAR	Federal Acquisition Regulations

FASAB	Finance Accounting Standards Advisory Board
FINCEN	Finance Center
FLIS	Federal Logistics
FLS	Fleet Logistics System
FSC	Federal Supply Code
FSS	Federal Supply System
GIRDER	Government Industry Reference Data Edit Review
HAZMAT	Hazardous Material
HM&E	Hull, Mechanical & Electrical
IBUD	Integrated Budget System
ICP	Inventory Control Point
ILSMT	Integrated Logistics Support Management Team
ILSP	Integrated Logistics Support Plan
IM	Inventory Manager
IMM	Integrated Material Manager
IRM	Information Resource Management
ISIL	Interim Support Item List
MILSBILLS	Military Standard Billing System
MILSTRAP	Military Standard Transaction Reporting & Accounting Procedures
MILSTRIP	Military Standard Requisitioning & Issue Procedures
MIPR	Military Interdepartmental Purchase Request
MLC	Maintenance Logistics Commands
MSO	Maintenance Support Outline
MTR	Mandatory Turn-in Reparable
NOTAL	Not All
OE	Operating Expenses
OGA	Other Government Agency
OLSP	Operational Logistics Support Plan
OPAC	On-Line Payment and Credit
OPFAC	Operating Facility Accounting Code
PICA	Primary Inventory Control Activity
PMCL	Proposed Mil Change Letter
POP	Planned Obligation Program
PRO	Project Resident Office
PTD	Provisioning Technical Documentation
QA	Quality Assurance
QMO	Quarterly Management Overview
RCP	Resource Change Proposal
RP	Resource Proposal
SAM	Systems Acquisition Manual
SCB	Supply Center Baltimore
SCCB	Supply Center Curtis Bay
SCCR	Supply Centers Computer Replacement
SF	Stock Fund
SICA	Secondary Inventory Control Activity
SM&R	Source, Maintenance & Recoverability
SPBO	Spare Parts Breakout
SPPM	Supply Policy and Procedures Manual
SUPCEN	Supply Center
TAR	Transportation Acquisition Regulations
TIR	Total Item Record

**CUSTOMERS**

- A. **Customers.** Customers vary depending on the ICP and the commodity they manage. The following lists are separated by ICP and identifies their primary customers.
- B. **List of Customers.**
1. **Aircraft Repair and Supply Center (ARSC).** Aeronautical and avionics support is governed by one of the "material type" classifications according to price and/or source as outlined in COMDTINST M13020.1 (series), Chapter 7 and COMDTINST M4400.19, Part V, Chapter 4.
    - a. 26 CG Air Stations
    - b. Repair Division (ARSC)
    - c. Engineering Division (ARSC)
    - d. Aviation Training Center Mobile
    - e. Aviation Technical Training Center Elizabeth City
  2. **Engineering Logistics Center (ELC).**
    - a. All CG Operating Units
    - b. OGAs, e.g., Army, Navy, Air Force, Marines and FAA
    - c. Host Nation LORAN/OMEGA Stations
    - d. There are three types of support provided to the fleet
 

**FULL.** Configuration and centrally managed supply support of all mission critical items of operation are in accordance with the operating unit's maintenance support outline and identified in their configuration/allowance document.

**PARTIAL.** Centrally managed supply support is limited to selected mission critical items identified in the maintenance support outline. These items are normally casualty insurance items with long manufacturing lead time.

**LIMITED.** There is no centrally managed supply support for this item of operation. If an item of support is in the FSS and/or managed by an ICP, the item may be procured from the ICP or OGA. However, no new items of supply will be entered into the FSS to support a platform with this classification.



The following is a detailed list of ELC fleet customers and the type of support provided.

<u>List of Customers</u>	<u>Qty</u>	<u>Type of Support</u>
399 WAGB POLAR CLASS	2	PARTIAL
378 WHEC	12	FULL
295 WIX EAGLE	1	LIMITED
270 WMEC	13	FULL
230 WMEC	1	PARTIAL
213 WMEC	3	LIMITED
210 WMEC	16	FULL
205 WMEC	1	LIMITED
180 WMEC	1	PARTIAL
180 WLB	23	FULL
180 WLB (AUSTERE)	5	LIMITED
160 WLIC	4	PARTIAL
157 WLM	5	PARTIAL
140 WTGB	9	FULL
133 WLM	6	PARTIAL
115 WLR	1	LIMITED
110 WPB	49	FULL
100 WLI	2	LIMITED
100 WLIC	3	LIMITED

<u>List of Customers</u>	<u>Qty</u>	<u>Type of Support</u>
82 WPB	38	PARTIAL
75 WLIC	9	PARTIAL
75 WLR	11	PARTIAL
65 WYTL	14	PARTIAL
65 WLI	4	PARTIAL
65 WLR	6	LIMITED
65 ANB	1	LIMITED
63 ANB	1	LIMITED
55 ANB	22	FULL
46 BUSL	13	LIMITED
45 BU	12	LIMITED
44 MLB	97	FULL
41 UTB	205	FULL
34 ANB	2	LIMITED
32 PWB	7	LIMITED
30 SRB	14	PARTIAL
25 '8 MCB/MSB	96*	FULL
25 UTL	111	LIMITED
22 SKB	29	LIMITED
21 TANB	77	LIMITED
19 RHIB (AVON)	84*	FULL
PROPOSED NEW CUTTER CLASSES		
PIR	1	FULL
WLB	5-16	FULL
WLM	3-14	FULL

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List of Customers	Qty	Type of Support
CPB	1-50	FULL
49 BUSL	2-52	FULL
47 MLB (NEW)	5-125	FULL
25'8 MLB	35	FULL

\* Original quantity is fully supported as indicated.  
Additional quantities, procured locally from various  
other manufactures, the "Type of Support" category is  
LIMITED.